

# EXHIBIT 4

AO 10  
Rev. 3/2023**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2022***Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 13101-13111)*

|  |   |  |
|--|---|--|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Lee, Eunice C.  | <b>2. Court or Organization</b><br><br>United States Court of Appeals for the Second Circuit  | <b>3. Date of Report</b><br><br>03/29/2024                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. Circuit Judge - Active                                    | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2022<br>to<br>12/31/2022 |
| <b>7. Chambers or Office Address</b><br><br>Thurgood Marshall U.S. Courthouse<br>40 Foley Square<br>New York, New York 10007   |   |  |
| <b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i> |   |  |

**I. POSITIONS.** *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*☐ NONE *(No reportable positions.)*POSITIONNAME OF ORGANIZATION/ENTITY

|           |                            |
|-----------|----------------------------|
| 1. Member | The American Law Institute |
| 2.        |                            |
| 3.        |                            |
| 4.        |                            |
| 5.        |                            |

**II. AGREEMENTS.** *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*☒ NONE *(No reportable agreements.)*DATEPARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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Name of Person Reporting

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME

(yours, not spouse's)

1.

2.

3.

4.

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE

1.

2.

3.

4.

**IV. REIMBURSEMENTS** -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. University of Illinois College  
of Law

April 10-12, 2022

Champaign, IL

Law school moot court

Transportation, meals, hotel

2.

3.

4.

5.

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V. GIFTS. (Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☒ NONE (No reportable gifts.)

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 1.     |             |       |
| 2.     |             |       |
| 3.     |             |       |
| 4.     |             |       |
| 5.     |             |       |

VI. LIABILITIES. (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)

☒ NONE (No reportable liabilities.)

| CREDITOR | DESCRIPTION | VALUE CODE |
|----------|-------------|------------|
| 1.       |             |            |
| 2.       |             |            |
| 3.       |             |            |
| 4.       |             |            |
| 5.       |             |            |

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**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |  |
|---|---|--|---|------------------------------------|--|------------------|--------------------------|-------------------------|--|
|   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)  | (2)              | (3)                      | (4)                     |  |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) |  |
| 1. Bank of America cash account   |   | None                                   | L   | T                                  |  |                  |                          |                         |  |
| 2. Capital One cash account   | A                                       | Interest                               | L   | T                                  |  |                  |                          |                         |  |
| 3. Vanguard Institutional Target Retirement 2035 Fund   | A                                       | Dividend                               |   |                                    | Sold                                       | 03/09/22         | K                        |                         |  |
| 4. Vanguard Target Retirement 2035 Investor Fund  |   | None                                   | M   | T                                  |  |                  |                          |                         |  |
| 5.  |   |  |   |                                    |  |                  |                          |                         |  |
| 6.  |   |  |   |                                    |  |                  |                          |                         |  |
| 7.  |   |  |   |                                    |  |                  |                          |                         |  |
| 8.  |   |  |   |                                    |  |                  |                          |                         |  |
| 9.  |   |  |   |                                    |  |                  |                          |                         |  |
| 10.   |   |  |   |                                    |  |                  |                          |                         |  |
| 11.   |   |  |   |                                    |  |                  |                          |                         |  |
| 12.   |   |  |   |                                    |  |                  |                          |                         |  |
| 13.   |   |  |   |                                    |  |                  |                          |                         |  |
| 14.   |   |  |   |                                    |  |                  |                          |                         |  |
| 15.   |   |  |   |                                    |  |                  |                          |                         |  |
| 16.   |   |  |   |                                    |  |                  |                          |                         |  |
| 17.   |   |  |   |                                    |  |                  |                          |                         |  |

|  |   |  |   |  |                         |
|--|---|--|---|--|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value   | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated   | T = Cash Market  |                         |

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| Name of Person Reporting | Date of Report |
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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|---|---|--|---|------------------------------------|--|------------------|--------------------------|-------------------------|
|   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)  | (2)              | (3)                      | (4)                     |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) |
| 18.   |   |  |   |                                    |  |                  |                          |                         |

|  |  |  |  |  |                        |
|--|--|--|--|--|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value  | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated  | T =Cash Market   |                        |

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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

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**IX. CERTIFICATION.**

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Eunice C. Lee**

**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 13106)**

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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Washington, D.C. 20544